

DEPARTMENT OF THE NAVY
INVESTIGATIVE REPORT OF VIOLATION
ADMINISTRATIVE CONTROL OF APPROPRIATION REGULATIONS
(REPORT CONTROL SYMBOL DD-COMP(AR)170) (FY/___)

1. **Authorization Identification**
Include specific appropriation, eg. OPN FY 1987, Treasury symbol and subhead
2. **Authority Document**
What type of document was the obligation authority transmitted on? Include identifying information such as the date and appropriate documents symbols.
3. **Authorization Grantor**
List the official name, title, beginning and ending of tenure, and the official business address for the grantor.
4. **Authorization Holder**
List the official name, title, beginning and ending of tenure, and the official business address for the authorization holder.
5. **Detection of Violation**
Explain how the violation was detected to include specific dates, documents, or other supporting information and/or circumstances.
6. **Financial Data**
Type of violation : 31 USC 1517(a), 1341, etc. (see FMR, Vol. 14, Chapter 2, encl. 2-1)
Total funds authorized:
Charges in excess of authorization:
7. **Statement of Circumstances**
A complete and concise statement of the circumstance which lead to the violation is required. (See FMR, Vol. 14, Chapter 7, page 7-1-3).
8. **Elimination of Status of Violation**
What actions were or are planned to be taken to ensure that a like violation does not occur again? Be specific to include dates and times these actions will occur.
9. **Evidence of Willful Intent to Violate**
A statement that either the violation was knowingly and willfully committed or that the violation was not knowingly or willfully incurred must be included.

10. **Responsibility for Violation**
Name and rank of the officer(s) responsible for the violation. Name, grade, and civilian job series number--required by the Office of Management and Budget--of the civilian(s) responsible for the violation.
11. **Statement of Responsible Officials**
Attach a statement given by those individuals identified in item #10 above.
12. **Disciplinary Action**
Provide a written statement from the disciplining officer(s) justifying the disciplinary action, or absence thereof, as required by Section B, Chapter 9 of Volume 14, "Administrative Control of Funds and Antideficiency Act Violations", of the DOD Financial Management Regulation (DOD 7000.14-R). The individuals responsible for determining disciplinary action should attach written statements to the report acknowledging that: 1) a violation is a serious matter; 2) disciplinary action taken/to be taken is appropriate to the causes and circumstances determined during the investigation; 3) the Department must report the violation to the Congress and the President; and 4) the disciplinary action taken/to be take is commensurate with the severity of the violation, with full justification of extenuating circumstances.
13. **Procedural Action Taken**
Provide a concise description of specific action(s) taken to correct the violation and dates on which the actions were taken or planned. Include any procedural changes or new safeguards established to prevent recurrence of the same type of violation. Describe actions in detail so that adequacy of the corrective action(s) may be evaluated.
14. **Evaluation of Authorization Holder's Responsibility**
Provide a statement which evaluates the authorization holder's performance in connection with the execution of his responsibilities associated with funds administration and management.
15. **Signature, Title, and Command of the Appointed Investigators.**
Each report must be signed and dated by the assigned ADA investigators. Identification of the investigator's permanent command and a current telephone number is required.
16. **Attach Supporting Documentation.**
Documentation supporting the conclusion of the ADA team should be cataloged and submitted with the report. Such documents may include statements of witnesses, invoices, obligations documents, accounting records, contracts, funding documents, etc.